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BEFORE THE DEPARTMENT OF BUSINESS OVERSIGHT
OF THE STATE OF CALIFORNIA

In the Matter of the Statement of Issues:)	OAH CASE NO.: 2018040780
THE COMMISSIONER OF BUSINESS)	
OVERSIGHT,)	CRD NO.: 147991
)	
Complainant,)	FINAL ORDER TO DISCONTINUE
)	VIOLATIONS PURSUANT TO
)	CORPORATIONS CODE SECTION 25249
v.)	
)	
MIRAE ASSET WEALTH MANAGEMENT)	
(USA) INC.,)	
)	
Respondent.)	
)	
In the Matter of the Order to Discontinue)	
Violations of:)	
THE COMMISSIONER OF BUSINESS)	
OVERSIGHT,)	
)	
Complainant,)	
)	
v.)	
)	
MIRAE ASSET WEALTH MANAGEMENT)	
(USA) INC.,)	
)	
Respondent.)	

TO: John W. Park, Chief Compliance Officer
Mirae Asset Wealth Management (USA) Inc.
3701 Wilshire Boulevard, Suite 101
Los Angeles, California 90010

Jan Lynn Owen, the Commissioner of Business Oversight finds that:

Mirae Asset Wealth Management (USA) Inc. (Mirae AWM) previously violated the Corporate Securities Law of 1968 (CSL) (Corp. Code, § 25000 et seq.) and the rules and regulations promulgated under title 10 of the California Code of Regulations (CCR) (Cal. Code Regs., tit. 10, § 260.000 et seq.). Specifically, Mirae AWM violated Corporations Code section 25241 and CCR section 260.241.3, subdivisions (a)(7) and (e)(2), by failing to maintain financial books and records in the manner required.

NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby ORDERED under the provisions of Corporations Code section 25249, that Mirae AWM discontinue any further violations of Corporations Code section 25241 and CCR section 260.241.3, subdivisions (a)(7) and (e)(2).

Dated: September 14, 2018
Sacramento, CA

JAN LYNN OWEN
Commissioner of Business Oversight

By _____
MARY ANN SMITH
Deputy Commissioner
Enforcement Division